

# 6

Export Certification  
Manual

## Special Procedures

### *User Fees*

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#### Introduction

These special procedures provide guidance to Federal Authorized Certification Officials (ACOs) for collecting user fees and recording the charges on APHIS Form 80-R, Export Certification Record.

State or county ACOs should refer to their local policy for collecting user fees when issuing Federal plant export certificates.

The funding for USDA-APHIS-PPQ's phytosanitary export certification program is generated directly by user fees. Therefore, the collecting of user fees is a crucial task in order to maintain the financial soundness of USDA-APHIS-PPQ's phytosanitary export certification program. User fees are collected for the following Federal plant export certificates:

- ◆ PPQ Form 577, Federal Phytosanitary Certificate
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport

In this section the term “certificate” refers to any Federal plant export certificate. The term “reissue” on APHIS Form 80-5 and the Monthly Reports includes certificates that are reissued, replaced or superseded.

Each ACO work location has an inventory of accountable certificates. Exporters may pay for each certificate at the time of service or they may prepay for a block of certificates. ACOs cannot mandate the use of prepaid certificates. Regardless, an APHIS Form 80-R (see Figure 3-11-3 on page 3-11-28) must be completed. The APHIS Form 80-R is used to track the accountable certificates.

Each ACO work location has an inventory of accountable certificates. Exporters may pay for each certificate at the time of service or they may prepay for a block of certificates. ACOs cannot mandate the use of prepaid certificates. Regardless, an APHIS Form 80-R ([Figure 6-15-3 on page 6-15-32](#)) must be completed. The APHIS Form 80-R is used to track the accountable certificates.

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## Payment for Certificates

Exporters may pay for certificates at the time of service or prepay for a block of certificates.

Prepayment must be in U.S. funds. Procedures for accepting prepayment for a block of Federal plant export certificates are covered in the section titled [Prepaid Certificates](#) on page 6-15-19.

When a block of certificates are prepaid by an exporter, then an APHIS Form 80-R is completed and used to track the accountable certificates. See [Prepaid Certificates](#) on page 6-15-19 for instructions about how exporters can purchase prepaid certificates.

Certificates may be paid for by:

- ◆ Cash (in limited circumstances, see below)
- ◆ Personal checks
- ◆ Money orders
- ◆ Cashier’s checks
- ◆ Certified checks, or

◆ Traveler's checks

### Cash

Do not accept cash unless absolutely necessary. If absolutely necessary to accept cash inform the exporter that you will accept cash once only and the next time the exporter must pay in one of the other acceptable forms, listed above.

If the exporter asks for a receipt for cash payment issue SF Form 1165 (a generic receipt form).

When an exporter pays in cash the ACO must change the cash into a money order made payable to USDA, APHIS. ACOs must never pay for the money order from the cash received. ACOs may get reimbursed for the cost of a money order by completing and submitting SF Form 1164, Claim for Reimbursement for Expenditures on Official Business.

### Personal checks

Accept a personal check only if the total amount due is \$100 or less. If the total amount due is more than \$100, then the payment must be by cashier's check, certified check, traveler's check, or money order only. These must be made payable to USDA, APHIS. The following information should appear on the face of the check:

- ◆ Complete mailing address
- ◆ Phone number
- ◆ Social security
- ◆ Driver's license, or taxpayer identification number

Checks drawn on foreign banks must be payable in U.S. funds and must be marked as payable in U.S. dollars. If a check is returned by the bank for non-sufficient funds and the exporter fails to settle the balance, then refuse export certification service until the outstanding balance is paid.

### Collecting Fees from USDA Agencies

Charges for certificates issued to other USDA agencies can be collected through an interagency agreement. If a USDA agency or facility requests such an arrangement, then an interagency agreement **must** be signed before issuing a certificate.<sup>1</sup>

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<sup>1</sup> To set up an interagency agreement, the agency or facility should contact the Agreement Services Center at USDA-APHIS-PPQ headquarters in Riverdale, Maryland. Check with USDA-APHIS-PPQ Export Services, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-7639, at the beginning of each fiscal year (October) to identify the agencies and facilities that have valid agreements.

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## Forms Required to Record Payments and Issuance of Certificates

ACOs should have the following official forms to collect and maintain user fees for issued certificates<sup>2</sup>:

- ◆ APHIS Form 47, Transmittal and Receipt for Accountable Items for transferring accountability of certificates (see [Figure 6-15-2 on page 6-15-31](#))
- ◆ APHIS Form 80-R, Export Certification Record for tracking issued certificates (see [Figure 6-15-3 on page 6-15-32](#))
- ◆ APHIS Form 89, Report of Reimbursable Inspection and Quarantine Service
- ◆ APHIS Form 94, Record of Public Funds Received, for remitting fees to a lock box (see [Figure 6-15-4 on page 6-15-33](#))
- ◆ PPQ Form 575, Monthly Summary of Export Certificates Issued, for reporting results (See [Figure 6-15-5 on page 6-15-34](#))
- ◆ SF Form 1164, Claim for Reimbursement for Expenditures on Official Business
- ◆ SF Form 1165 (book of blank receipts)

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## Determining Fee

In addition to charging a user fee for a Federal plant export certificate, USDA-APHIS-PPQ will also charge for an exporter's request to inspect plants or plant products on overtime (outside of duty hours). USDA-APHIS-PPQ user fee and overtime charges conform to 7CFR 354, Overtime Services Relating to Imports and Exports and User Fees.

Factors to consider when setting the user fee:

- ◆ Whether the shipment is commercial or noncommercial
- ◆ The value of a commercial shipment
- ◆ Commercial shipment valued less than \$1,250, or
- ◆ Noncommercial shipment
- ◆ Whether the service is provided during regular, contiguous or non-contiguous reimbursable overtime.
- ◆ Is this a reissue, replacement or superseding certificate

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<sup>2</sup> Example of APHIS and PPQ listed forms are located at the end of these special procedures (see [Forms Used for Collecting User Fees](#) on [page 6-15-30](#)) and are available for downloading from the following web site address: <<http://www.aphis.usda.gov/library/forms>>.

## Commercial Shipments

- ◆ Commercial shipments whose value is \$1250 or greater cost \$50.00
- ◆ Commercial shipments whose value is less than \$1250 cost \$23.00. If the shipment is commercial and the exporter requests that the certificate be provided at the lower fee (\$23) they must provide a commercial invoice indicating that the value is less than \$1250.00. Furthermore, the quantity of produce declared and the number and the description of packages on the application for service must match, exactly, those found on the invoice. Attach a copy of the invoice to the Issuing Office Copy of the Federal plant export certificate.



Samples are considered to be commercial shipments.

## Non-commercial Shipments

Noncommercial shipments are those moving for neither gain nor profit. Exporters of noncommercial shipments must provide documentation indicating that the shipment has no value.

To qualify for the noncommercial rate, the exporter, shipper, or broker must present one of the following documents: CCC 512, Notice of Commodity Availability; KC 269, Notice to Deliver; KC 269-A, Forwarding Notice.

Consider shipments under an Agricultural Stabilization and Conservation Service (ASCS) Program as noncommercial. To qualify for the noncommercial rate, the exporter, shipper, or broker must present one of the following documents: CCC 512, Notice of Commodity Availability; KC 269, Notice to Deliver; KC 269-A, Forwarding Notice.

These fees may be adjusted for the following reasons, which are discussed later on in this chapter:

- ◆ Issuance of certificate on non-contiguous overtime: The exporter is due a credit since USDA-APHIS-PPQ does not charge for both the prepaid certificate and for services performed during reimbursable overtime.
- ◆ Reissued, replaced or superseding certificate

See [Figure 6-15-1](#) for a list of the main steps associated with collecting user fees followed by detailed guidelines.

**Step 1: Set User Fee**  
**Step 2: Collect User Fee**  
**Step 3: Record Collected User Fees and Prepaid Certificates**  
**Step 4: Remit Collected User Fees**

**FIGURE 6-15-1: Overview of the Steps to Collect User Fees**

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## Step 1: Set User Fee

Use [Table 6-15-1](#) to identify the correct steps to follow when determining how much to charge for a certificate. This determination is based on whether the certificate is issued on regular time, contiguous reimbursable overtime, or noncontiguous reimbursable overtime.

**TABLE 6-15-1: Identify the Correct Steps to Set the User Fee Based on Time Status**

<b>If the Federal plant export certificate is issued during:</b>	<b>Then:</b>
Regular time	GO to <a href="#">Certificates Issued on Regular Time or Contiguous, Reimbursable Overtime</a> on <a href="#">page 6-15-6</a>
Contiguous, reimbursable overtime	
Noncontiguous, reimbursable overtime	GO to <a href="#">Certificates Issued on Noncontiguous, Reimbursable Overtime</a> on <a href="#">page 6-15-7</a>

### Certificates Issued on Regular Time or Contiguous, Reimbursable Overtime

If export certification service is performed on regular time USDA-APHIS-PPQ only charges the user fee for the certificate.

If the certificate is issued during contiguous, reimbursable overtime USDA-APHIS-PPQ charges for both the services performed on overtime and the certificate fee.

When an exporter presents a prepaid certificate there is **no** need to set a user fee. SKIP to [Step 3: Record Collected User Fees and Prepaid Certificates](#) on [page 6-15-10](#).

See [Table 3-11-2](#) for instructions about how to set the user fee for certificates issued on regular time or contiguous, reimbursable overtime.



ACOs **must** use their professional judgment and the shipment's accompanying documentation to establish the shipment's value and to determine whether a shipment is commercial or noncommercial.

See [Table 6-15-2 on page 6-15-7](#) for instructions about how to set the user fee for certificates issued on regular time or contiguous, reimbursable overtime.

**TABLE 6-15-2: Set User Fee for certificates Issued on Regular or Contiguous, Reimbursable Overtime**

If the issued Federal plant export certificate is:	And the shipment is:	And the invoiced value is:	Then:
PPQ Form 577, 578, and 579	Commercial	Less than \$1,250	1. SET the fee at \$23 <sup>2</sup> 2. GO to <a href="#">Step 2: Collect User Fee</a> on <a href="#">page 6-15-8</a>
		At or greater than \$1,250	1. SET the fee at \$50 2. GO to <a href="#">Step 2: Collect User Fee</a> on <a href="#">page 6-15-8</a>
	Noncommercial	→	1. SET the fee at \$23 <sup>1</sup> 2. GO to <a href="#">Step 2: Collect User Fee</a> on <a href="#">page 6-15-8</a>

- 1 Currently, there are **no** provisions for allowing a company to purchase prepaid certificates at the \$23 rate.

### Certificates Issued on Noncontiguous, Reimbursable Overtime

Exporters may choose either to use one of their prepaid certificates or use one in USDA-APHIS-PPQ's inventory. ACOs **cannot** mandate the use of prepaid certificates. If the exporter uses one from USDA-APHIS-PPQ's inventory there is no user fee charged for the certificate, including the \$7 administrative fee.

When an exporter presents a prepaid certificate the ACO needs the associated APHIS Form 80-R that contains that certificate's serial number. The exporter is due a credit since USDA-APHIS-PPQ **does not** charge for the issuance of the certificate when the service is provided during noncontiguous, reimbursable overtime. The exporter is only charged the user fees for the overtime services. The credit due, when a prepaid certificate is used, is not the full \$50 because a \$7.00 administrative fee must be paid; therefore the credit, for prepaid certificates is \$43.00

See [Table 6-15-3](#) for instructions about how to process certificates issued on noncontiguous, reimbursable overtime.

**TABLE 6-15-3: Process certificates Issued on Noncontiguous, Reimbursable Overtime**

If the exporter chooses to:	Then:
Use a prepaid certificate	<ol style="list-style-type: none"> <li>1. RECORD the following on the appropriate APHIS Form 80-R <ul style="list-style-type: none"> <li>◆ ENTER the date in <i>Block 16</i></li> <li>◆ CHECK <i>Block 20</i> to show that a \$43 credit is due (because the certificate is issued on reimbursable overtime)</li> <li>◆ ENTER \$43 in <i>Block 22</i></li> <li>◆ CHECK <i>Block 17</i></li> <li>◆ INITIAL <i>Block 23</i> to show that the certificate was used</li> </ul> </li> <li>2. Charge ROT on an APHIS Form 89 recording the certificate's serial number in <i>Block 12</i></li> <li>3. FOLLOW standard billing or cash on delivery (c.o.d.) procedures</li> </ol>
Purchase a certificate at the time of service	<ol style="list-style-type: none"> <li>1. WAIVE the user fee for the certification, but charge for reimbursable overtime</li> <li>2. RECORD the following on the APHIS Form 80-R <ul style="list-style-type: none"> <li>◆ ENTER the date in <i>Block 16</i></li> <li>◆ CHECK <i>Block 17</i></li> <li>◆ INITIAL <i>Block 23</i> to show that the certificate was used</li> <li>◆ WRITE "Issued on ROT" across <i>Blocks 18</i> through <i>22</i></li> </ul> </li> <li>3. Charge ROT on an APHIS Form 89 recording the certificate's serial number in <i>Block 12</i></li> <li>4. FOLLOW standard billing or c.o.d. procedures</li> </ol>

## Step 2: Collect User Fee

Exporters may pay for certificates at the time of service or prepay for a block of certificates.

Prepayment must be in U.S. funds. Procedures for accepting prepayment for a block of Federal plant export certificates are covered in the section titled **Prepaid Certificates** on page 6-15-19.

When a block of certificates are prepaid by an exporter, then an APHIS Form 80-R is completed and used to track the accountable certificates. See **Prepaid Certificates** on page 6-15-19 for instructions about how exporters can purchase prepaid certificates.

Certificates may be paid for by:

- ◆ Cash (in limited circumstances, see below)
- ◆ Personal checks
- ◆ Money orders

- ◆ Cashier's checks
- ◆ Certified checks
- ◆ Traveler's checks

### Cash

Do not accept cash unless absolutely necessary. If absolutely necessary to accept cash inform the exporter that you will accept cash once only and the next time the exporter must pay in one of the other acceptable forms, listed above.

If the exporter asks for a receipt for cash payment issue SF Form 1165 (a generic receipt form).

When an exporter pays in cash the ACO must change the cash into a money order made payable to USDA, APHIS. ACOs must never pay for the money order from the cash received. ACOs may get reimbursed for the cost of a money order by completing and submitting SF Form 1164, Claim for Reimbursement for Expenditures on Official Business.

### Personal Checks

Accept a personal check only if the total amount due is \$100 or less. If the total amount due is more than \$100, then the payment must be by cashier's check, certified check, traveler's check, or money order only. These must be made payable to USDA, APHIS. The following information should appear on the face of the check:

- ◆ Complete mailing address
- ◆ Phone number
- ◆ Social security number
- ◆ Driver's license, or taxpayer identification number

Checks drawn on foreign banks must be payable in U.S. funds and must be marked as payable in U.S. dollars. If a check is returned by the bank for non-sufficient funds and the exporter fails to settle the balance, then refuse export certification service until the outstanding balance is paid.

### Collecting fees from USDA agencies

Charges for certificates issued to other USDA agencies can be collected through an interagency agreement. If a USDA agency or facility requests such an arrangement, then an interagency agreement **must** be signed before issuing a certificate.<sup>3</sup>



**Do not** accept a personal check for user fees totalling more than \$100.

**Do not** accept cash unless absolutely necessary. If absolutely necessary, accept cash on a one time basis.

Checks drawn on foreign banks **must** be payable in U.S. funds and **must** be marked as payable in U.S. dollars.

If a check is returned by the bank for non-sufficient funds and the exporter fails to settle the balance, then refuse export certification service until the outstanding balance is paid.

Once the user fee is collected, go to [Step 3: Record Collected User Fees and Prepaid Certificates](#).

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### Step 3: Record Collected User Fees and Prepaid Certificates

Record collected user fees and prepaid certificates on APHIS Form 80-R, Export Certificate Record, for certificates issued on regular time or contiguous reimburseable overtime. If the exporter used a prepaid Federal plant export certificate go to [Table 6-15-4 on page 6-15-11](#).

If the exporter paid at the time service was rendered for a Federal plant export certificate in USDA-APHIS-PPQ inventory, then go to [Table 6-15-5 on page 6-15-12](#).

#### Record Prepaid Certificates

When an exporter uses a prepaid Federal plant export certificate record your actions on the APHIS Form 80-R that references the certificates serial number.

See [Table 6-15-4](#) for instructions on completing APHIS Form 80-R. If the associated APHIS Form 80-R is located at a different physical office within the work unit, then contact that office and have the results of your actions documented on the APHIS Form 80-R and have the person recording the information initial *Block 23* for you.

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- 3 To set up an interagency agreement, the agency or facility should contact the Agreement Services Center at USDA-APHIS-PPQ headquarters in Riverdale, Maryland. Check with USDA-APHIS-PPQ Export Services, 4700 River Road, Unit 140, Riverdale, Maryland 20737; Phone 301-734-8537; FAX 301-734-7639, at the beginning of each fiscal year (October) to identify the agencies and facilities that have valid agreements.

**TABLE 6-15-4: Record Prepaid certificates**

If the fee was:	Then record the following on the APHIS Form 80-R that pertains to the certificate issued:
\$23	<ol style="list-style-type: none"> <li>1. ENTER the date in <i>Block 16</i></li> <li>2. CHECK <i>Block 21</i> to show that an \$27 credit is due (the fee difference between the amount paid when the certificate was purchased and the actual cost of the certificate.</li> <li>3. ENTER \$27 in <i>Block 22</i></li> <li>4. CHECK <i>Block 17</i></li> <li>5. INITIAL <i>Block 23</i> to show that the certificate was used</li> </ol>
\$50	<ol style="list-style-type: none"> <li>1. ENTER the date in <i>Block 16</i></li> <li>2. CHECK <i>Block 17</i></li> <li>3. INITIAL <i>Block 23</i> to show that the certificate was used</li> </ol>
Not charged	<ol style="list-style-type: none"> <li>1. ENTER the date <i>Block 16</i></li> <li>2. ENTER \$43 in <i>Block 22</i> (\$50 value minus \$7 administrative charge)</li> <li>3. WRITE "N/C, Noncommercial Re-export" across <i>Blocks 18</i> through <i>21</i></li> <li>4. CHECK <i>Block 17</i></li> <li>5. INITIAL <i>Block 23</i> to show that the certificate was used</li> </ol>

### Record Nonprepaid Certificates

When you collect a user fee for a Federal plant export certificate from the exporter at the time of service (**not** prepaid certificates) you must document your actions on APHIS Form 80-R.

See [Table 6-15-5](#) for instructions on completing APHIS Form 80-R. If the associated APHIS Form 80-R is located at a different physical office within the work unit, then contact that office and have the results of your actions documented on the APHIS Form 80-R and have the person recording the information initial *Block 23* for you.

**TABLE 6-15-5: Record Inventoried certificates**

<b>If the fee was:</b>	<b>Then after retrieving the APHIS Form 80-R that lists the certificate's serial number, record the following:</b>
\$23	<ol style="list-style-type: none"><li>1. WRITE \$23 in <i>Block 17</i> for each issued certificate</li><li>2. TOTAL the charge for the number of certificates issued</li><li>3. If cash was received, GET a money order payable to USDA-APHIS</li><li>4. ENTER the date issued in <i>Block 16</i></li><li>5. INITIAL <i>Block 23</i> to show that the certificate was used</li><li>6. GO to <b>Step 4: Remit Collected User Fees</b> on <b>page 6-15-12</b></li></ol>
\$50	<ol style="list-style-type: none"><li>1. WRITE \$50 in <i>Block 17</i></li><li>2. TOTAL the charge for the number of certificates issued</li><li>3. If cash was received, GET a money order payable to USDA-APHIS</li><li>4. ENTER the date issued in <i>Block 16</i></li><li>5. INITIAL <i>Block 23</i> to show that the certificate was used</li><li>6. GO to <b>Step 4: Remit Collected User Fees</b> on <b>page 6-15-12</b></li></ol>
<b>Not charged</b>	<ol style="list-style-type: none"><li>1. WRITE "N/C" in <i>Block 17</i>, as appropriate</li><li>2. ENTER the date issued in <i>Block 16</i></li><li>3. INITIAL <i>Block 23</i> to show that the certificate was used</li><li>4. GO to <b>Step 4: Remit Collected User Fees</b> on <b>page 6-15-12</b></li></ol>

## Step 4: Remit Collected User Fees

After collecting user fees complete APHIS Form 94, Record of Public Funds Received<sup>4</sup>. More than one transaction can be recorded on an APHIS Form 94 for remitting collected user fees. See Chapter 10 of *APHIS Budget and Accounting Manual* for detailed instructions about how to complete APHIS Form 94. This section provides supplemental guidelines for remitting collected user fees on APHIS Form 94 for issued certificates.

Before completing an APHIS Form 94, ensure the following:

- ◆ If cash was collected convert the cash to a money order payable to USDA-APHIS



**Do not** remit cash.

**Do not** convert cash to a personal check.

**Never** take the cost of the money order from the cash received.

- ◆ All checks and money orders must be made payable to USDA-APHIS
- ◆ All checks drawn on foreign banks are payable in U.S. dollars<sup>5</sup>

<sup>4</sup> APHIS Form 94 is available for downloading from the following web site address: <<http://www.aphis.usda.gov/library/forms>>.

- ◆ 10-digit accounting code written in the lower, left corner on the front of each check or money order



**Do not** write below the memo and signature lines on a check as the writing can interfere with processing if it is too close to the micro line at the bottom of a check (account and bank routing numbers).

**Do not** write on the back of checks or money order.

**Do not** endorse checks or money orders with a stamp.

- ◆ Photocopy each check or money order for the work location records

When completing APHIS Form 94, do the following:

1. Write the complete mailing address of the originating office in *Block 4*.
2. For each transaction (collected fee for a Federal plant export certificate), enter the date the Federal plant export certificate was purchased in *Block 5*.
3. For each transaction, enter the 10-digit accounting code and 4-digit revenue source code (0250) in *Block 9*.
4. Clip (**do not** staple) checks and/or money orders to the original and one copy of APHIS Form 94.
5. Keep another copy of APHIS Form 94 until a receipted copy returns from the Minneapolis Financial Services Branch (MFSB). (After the MFSB receives the APHIS Form 94 from the lock box in St. Louis, they will return the receipted copy APHIS Form 94 to the originating office address in *Block 4*.)
6. Send (see important note below) the original and one copy of APHIS Form 94 with the clipped checks and/or money orders to the address printed in *Block 3* and listed below.



If practical, send the collected fees within 24 hours; but, **never** send the collected fees later than the second workday from date you received the fees. Use the date of the first transaction on APHIS Form 94 as a guide.

USDA-APHIS  
P. O. Box 952180  
St. Louis, MO 63195-2180

7. File the receipted copy. If you **do not** receive a receipted copy within 3 weeks of your submission, then notify the Minneapolis Financial Services Branch.

5 If possible, send foreign checks on a separate APHIS Form 94 as they are processed differently.

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## Reissuing, Replacing or Superseding Certificates

Instructions for recording reimbursement and payment for reissuing, replacing and superseding certificates are below.

USDA-APHIS-PPQ **does not** charge user fees for certificates that must be reissued, replaced, or superseded because of an error caused by an AC. Refer to Action to Take When Errors Are Made by USDA-APHIS-PPQ.

USDA-APHIS-PPQ **does** charge user fees for certificates that must be reissued, replaced, or superseded because of an error caused by the exporter or the requests changes to information about a shipment.

The fee charged for a reissuance, replacement, or a superseding certificate depends on whether the original consignment has been split into multiple consignments or the quantity needs to be increased.

### Is Eligible for a \$7.00 Administrative Fee, Only:

- ◆ New certificate issued on a one-to-one basis.
- ◆ Changes can be made to any of the information that was on the original certificate, except, the new certificate can not be issued for an amount greater than that on the original certificate. If the quantity needs to be increased, the exporter must pay the full fee.
- ◆ There is always a \$7 charge for replacing a Federal plant export certificate on a one-to-one basis, regardless of the number of times the certificate is replaced, reissued or superseded.
- ◆ The shipment can not be split, thus, requiring multiple certificates.

### Is Subject to Full User Fee:

The fee charged for a reissuance, replacement, or a superseding certificate depends on whether the original consignment has been split into multiple consignments or the quantity needs to be increased.

Exporters are charged the full user fee for the following:

- ◆ An increase in the quantity which would necessitate another inspection.

### **Is Subject to a Combination of Administrative Fee and Full User Fee**

A shipment is split and additional certificates are needed. In this case, the first new certificate can be issued for the \$7 administrative fee, but subsequent certificates must be charged at the full fee. Refer to TABLE 3-11-8: Calculate the Total Cost for Three Replacement Federal Plant Export Certificates for a Split Shipment for an example.

After the first replacement, charge the full amount, as appropriate. See also Table 3-11-8 for how to calculate the total user fee cost if an exporter requested three replacements for a previously issued Federal plant export certificate because the shipment had been split.


Instructions for recording reimbursement and payment for reissuing, replacing or superseding certificates are listed below. The action to take depends on the reason why an export certificate needs to be reissued, replaced or superseded.

- ◆ If the error was caused by USDA-APHIS-PPQ, then go to **Action to Take When Errors Are Made by USDA-APHIS-PPQ** on page 6-15-15.
- ◆ If the error was caused by the exporter or the exporter is requesting changes, then go to **Action to Take When Errors Are Made or Changes Are Requested by the Exporter** on page 6-15-17.

### **Action to Take When Errors Are Made by USDA-APHIS-PPQ**

**Never** charge exporters a user fee for certificates that must be reissued, replaced, or superseded because of errors made by USDA-APHIS-PPQ. See **Table 6-15-6 on page 6-15-16** for the correct action to take.

**TABLE 6-15-6: Action to Take When the Errors Are Caused by USDA-APHIS-PPQ**

If the error is on a:	And the exporter chooses to use:	Then do the following on APHIS Form 80-R to record the new certificate:
Prepaid Federal plant export certificate	Another prepaid Federal plant export certificate	<ol style="list-style-type: none"> <li>On the APHIS Form 80-R listing the original Federal plant export certificate: <ul style="list-style-type: none"> <li>◆ SCRATCH across <i>Block 15</i> through <i>Block 23</i> that identifies the certificate</li> <li>◆ In the margin, WRITE "Voided due to USDA-APHIS-PPQ error"</li> <li>◆ FILE the voided Federal plant export certificate, if available, at the issuing office</li> </ul> </li> <li>On the APHIS Form 80-R listing the new Federal plant export certificate: <ul style="list-style-type: none"> <li>◆ ENTER the date in <i>Block 16</i> (adjacent to the certificate's serial number)</li> <li>◆ INITIAL <i>Block 23</i> to show that the certificate was used</li> <li>◆ WRITE "PPQ issuing error" across <i>Block 17</i> through <i>Block 21</i></li> <li>◆ WRITE \$50 in <i>Block 22</i> to show the credit due</li> </ul> </li> </ol>
	Federal plant export certificate from USDA-APHIS-PPQ inventory	<ol style="list-style-type: none"> <li>On the APHIS Form 80-R listing the original Federal plant export certificate: <ul style="list-style-type: none"> <li>◆ SCRATCH through the certificate's serial number in <i>Block 15</i></li> <li>◆ ENTER in <i>Block 15</i> the serial number of the new Federal plant export certificate</li> <li>◆ FILE the voided Federal plant export certificate at the issuing office</li> </ul> </li> <li>On the APHIS Form 80-R listing the new Federal plant export certificate: <ul style="list-style-type: none"> <li>◆ ENTER the date in <i>Block 16</i></li> <li>◆ INITIAL <i>Block 23</i> to show that the certificate was used</li> <li>◆ WRITE "N/C" in <i>Block 17</i></li> <li>◆ WRITE "PPQ issuing error, replace certificate #[certificate number]" and "[company's name to which a new Federal plant export certificate is reissued]" across <i>Block 18</i> through <i>Block 23</i></li> </ul> </li> </ol>
Federal plant export certificate from USDA-APHIS-PPQ inventory		

## Action to Take When Errors Are Made or Changes Are Requested by the Exporter

USDA-APHIS-PPQ can charge user fees for certificates that must be reissued, replaced or superseded due to errors caused by the exporter or because the exporter requests a reissuance or replacement. Instructions for charging user fees for a certificate reissued, replaced, or superseded for these reasons are listed below.

For certificates that are reissued, replaced or superseded for reasons other than an error by USDA-APHIS-PPQ, see [Table 6-15-7 on page 6-15-17](#) for the correct action to take.

**TABLE 6-15-7: Action to Take When Errors Are Caused by the Exporter**

If the exporter chooses to:	Then:
Use a prepaid Federal plant export certificate	<ol style="list-style-type: none"> <li>On the APHIS Form 80-R listing the new, prepaid Federal plant export certificate: <ul style="list-style-type: none"> <li>◆ ENTER the date in <i>Block 16</i></li> <li>◆ CHECK <i>Block 18</i> (give credit for one new certificate<sup>1</sup>)</li> <li>◆ INITIAL <i>Block 17</i> and <i>Block 23</i> to show that the certificate was used</li> <li>◆ WRITE \$43 in <i>Block 22</i> to show credit due (administrative charge for one new certificate<sup>1</sup> must be paid)</li> </ul> </li> <li>VOID the original Federal plant export certificate</li> <li>FILE the voided Federal plant export certificate, if available, at the issuing office<sup>1</sup></li> </ol>
Pay for a Federal plant export certificate at time of service	<ol style="list-style-type: none"> <li>On the APHIS Form 80-R listing the new, inventoried Federal plant export certificate: <ul style="list-style-type: none"> <li>◆ ENTER the date in <i>Block 16</i></li> <li>◆ ENTER \$7 in <i>Block 17</i> (administrative charge for one new certificate<sup>1</sup>)</li> <li>◆ INITIAL <i>Block 23</i> to show that the certificate was used</li> </ul> </li> <li>Collect payment for \$7</li> <li>VOID the original Federal plant export certificate reissued, replaced, or superseded</li> <li>FILE the voided Federal plant export certificate at the issuing office</li> </ol>

- 1 There is a difference between a one-time change for a Federal plant export certificate (credit due or \$7 administrative charge) and an exporter's request for a second and third replacement. When an exporter requests additional certificates charge the regular user fee.

When an exporter requests that an export certificate be reissued, replaced or superseded more than one (1) time, charge according to whether the request is for one (1) new certificate or splitting the original certificate into multiple certificates. If the exporter requests a certificate to cover a partial shipment of a previously certified

shipment the exporter must pay the full charge for the new certificate. Before issuing the new certificate ensure that the partial shipment meets the country's time limits.

1. If the exporter requests a single (one) reissued, replaced, or superseded certificate, then charge \$7.



There is **always** a \$7 administrative charge for reissuing, replacing, or superseding a Federal plant export certificate on a one-to-one basis, regardless of the number of times the certificate is replaced. However, the shipment **cannot** be split, and the quantity **cannot** be changed to an amount greater than the amount that was actually certified and listed on the original Federal plant export certificate.

2. If the exporter requests the original export certificate be reissued, replaced or superseded more than one time, charge the full amount, as appropriate. (See **Step 1: Set User Fee** on page 6-15-6 to determine the appropriate user fee to charge.) See also **Table 6-15-8** for how to calculate the total user fee cost if an exporter requested three replacements for a previously issued Federal plant export certificate.
3. If the exporter is paying for the reissued, replaced, or superseded Federal plant export certificate by check or money order collect the user fee. (See **Step 2: Collect User Fee** on page 6-15-8.) After collecting the user fee complete APHIS Form 94, Record of Public Funds Received Record. (See **Step 4: Remit Collected User Fees** on page 6-15-12.)
4. Record collected user fees and log in prepaid certificates on APHIS Form 80-R, Export Certificate Record. (See **Step 3: Record Collected User Fees and Prepaid Certificates** on page 6-15-10.)

**TABLE 6-15-8: Calculate the Total Cost for Three Replacement certificates for a Split Shipment**

If the domestic origin shipment is:	And the Federal plant export certificate is the:	Then charge the following cost for the replacement certificates:
Commercial with an invoiced value of \$1,250 or greater	First replacement	\$ 7
	Second replacement	\$ 50
	Third replacement	\$ 50
	<b>Total User Fee Charge</b>	\$107
Noncommercial	First replacement	\$ 7
	Second replacement	\$ 23
	Third replacement	\$ 23
	<b>Total User Fee Charge</b>	\$ 53

## Maintaining Accountability

To maintain the credibility of the USDA-APHIS-PPQ phytosanitary export certificate program, an accountability system was established to deter forgeries and to control public misuse of certificates. As part of the accountability system, certificates are prenumbered in the top, right corner.

Certificates can be ordered from USDA's Beltsville Supply Center (BSC). This is an administrative function and requires a customer number, which is an 8-digit number starting with 34 that represents the agency's work location. certificates can be ordered on-line at the following web site address:

<<http://www.bsc.usda.gov>>

A second option or backup when the web site is **not** working is order directly from BSC by FAX at 301-394-0300. The FAX should include the following information:

- ◆ Customer ID number (34. . . . .)
- ◆ Form number and form name
- ◆ Quantity needed (certificates are packaged 300/box; the unit of issue is BX)
- ◆ Name of person ordering the forms and a phone number
- ◆ Complete mailing address where the forms are to be mailed

Ordered forms should be sent within 7 to 10 days. If forms are **not** received, then check your order by e-mailing Karen Stratchko of USDA-APHIS Forms, Records, Issuance, and Management ([karen.a.stratchko@aphis.usda.gov](mailto:karen.a.stratchko@aphis.usda.gov)) with the order number and date ordered.

Once a USDA-APHIS-PPQ office acquires an inventory of certificates, then accountability **must** be maintained for the following:

- ◆ [Prepaid Certificates](#)
- ◆ [Certificates Issued to Other USDA-APHIS-PPQ Offices](#)
- ◆ [Certificates Issued to State or County Offices](#)

### Prepaid Certificates

Exporters can prepay a block of certificates in lieu of paying at the time of service. Prepayment **must** be in U.S. funds. Procedures for accepting prepayment for a block of certificates are as follows:

1. Advise the exporter that the cost is \$50 for each Federal plant export certificate.



certificates can **only** be prepaid at a \$50 rate. There are **no** provisions for allowing exporters to purchase prepaid certificates at the \$23 rate, even if they exclusively use certificates that meet the criteria for charging this reduced rate (commercial shipments with an invoice value of less than \$1,250).

2. Ask how many certificates the exporter wishes to prepay, keeping in mind that exporters are limited to prepaying for a 3-month supply. This supply limit helps prevent difficulties that may arise if the rates of user fees change.
3. Total the cost by multiplying the requested number of certificates by \$50.
4. Record prepaid certificates using APHIS Form 80-R. (See **Step 3: Record Collected User Fees and Prepaid Certificates** on page 6-15-10.)
5. Give the block of certificates to the exporter **after** listing or stamping the name and address of the issuing office on each prepaid Federal plant export certificate in the block or space indicated by *PLACE* or *PLACE OF ISSUE*.



Inform the exporter that prepaid certificates **must** be signed **only** at the issuing office where the certificates were prepaid.

6. Collect user fee made payable to USDA-APHIS.



If a check is returned by the bank for nonsufficient funds (NSF) and the exporter fails to settle, then refuse export certification service until the outstanding balance is paid.

7. Provide exporters with a photocopy of APHIS FORM 80-R, marked "COPY"<sup>6</sup>, if requested. Otherwise, **do not** give the exporter a copy of APHIS Form 80-R.
8. Instruct the exporter about how to partially complete a Federal plant export certificate; that is, how to complete the DESCRIPTION OF CONSIGNMENT.
9. Inform the exporter that an administrative charge of \$7 will be assessed for all returned, unused certificates.

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6 At some work locations, marking the form as a COPY is automatically performed by a computer system.

- 10.** At the end of each quarter of the Fiscal Year (December, March, June, September), review the APHIS Form 80-R for prepaid, unused certificates.
  - A.** Consult with the exporter to determine the status of the unused certificates.
  - B.** If the certificates are **not** going to be used in the near future, then recover them. Reimburse the exporter \$43 and retain \$7 (administrative fee) for each prepaid, unused certificates that is recovered. (See ***Handling Refunds and Credits*** on **page 6-15-24.**)
  - C.** If there are long-standing, unused certificates listed on an APHIS Form 80-R **do not** allow the exporter to prepay for future certificates.

**TABLE 6-15-9: Instructions to Complete APHIS Form 80-R When Exporters Prepay certificates**

If the block is:	Then complete APHIS 80-R for a block of prepaid certificates as follows:
1. FIRM NAME AND ADDRESS	ENTER the name and address of the exporter, person, office, or firm to whom the certificates are assigned. The person purchasing the certificates must have a registered business in the United States. If the exporter is using an agent, then enter the responsible person's name in <i>Block 11</i> and phone number in <i>Block 12</i>
2. PREPAYMENT DATE	ENTER the date that prepayment is received
3. CHECK IDENTIFICATION NUMBER	<ul style="list-style-type: none"> <li>◆ If payment is by check ENTER the last 5 digits of the check number and the last 5 digits of the bank account number</li> <li>◆ If payment is by money order ENTER the last 10 digits of the money order number</li> </ul>
4. Certificates	ENTER the total amount of certificates being prepaid
6. Total	◆ ENTER the total cost by multiplying the number in <i>Block 4</i> by \$50
7. Credit Brought Forward	<ul style="list-style-type: none"> <li>◆ If the exporter is due a credit brought forward from previous transactions ENTER a credit amount</li> <li>◆ GIVE credit <b>only</b> when every Federal plant export certificate has been recorded and accounted for on APHIS Form 80-R to facilitate record keeping</li> </ul>
9. Credit Balance	<ul style="list-style-type: none"> <li>◆ If the exporter chooses to apply credit brought forward, then SUBTRACT the amount in <i>Block 7</i> from the total in <i>Block 6</i></li> <li>◆ INFORM the exporter of a credit balance or amount due</li> </ul>
10. Amount Paid	ENTER the total amount due
11. RESPONSIBLE AGENT	If the exporter is using an agent, ENTER the name of the individual representing the exporter
12. PHONE NUMBER	If the exporter is using an agent, ENTER the phone number of individual representing the exporter
13. SERIAL RANGE	ENTER the serial number range of the certificates from USDA-APHIS-PPQ inventory
14. ISSUING OFFICER	SIGN as issuing official

### Certificates Issued to Other USDA-APHIS-PPQ Offices

When a controlling official (Export Certification Specialist, Officer-in-charge, State plant health director, or other designated PPQ regulatory official) transfers a block of certificates to another USDA-APHIS-PPQ office under his or her jurisdiction, the controlling official **must** record the transfer using APHIS 80-R, Export Certification Record, or APHIS Form 47, Transmittal and Receipt for Accountable Items. certificates **must** be transferred to an accountable individual within the receiving USDA-APHIS-PPQ office.

## Instructions to Complete APHIS Form 80-R

When an APHIS Form 80-R is used to record the transfer of certificates to other USDA-APHIS-PPQ offices, follow the instructions in [Table 6-15-10](#).

**TABLE 6-15-10: Instructions to Complete APHIS Form 80-R to Transfer certificates to Other USDA-APHIS-PPQ Offices**

If the block is:	Then follow these instructions to complete APHIS Form 80-R:
1. FIRM NAME AND ADDRESS	ENTER the address of the USDA-APHIS-PPQ office to which the certificates are being transferred
11. RESPONSIBLE AGENT	LIST the accountable individual's name
12. PHONE NUMBER	LIST the accountable individual's phone number
13. SERIAL RANGE	LIST the range of serial numbers for the certificates issued
14. ISSUING OFFICER	LIST the controlling official's name

## Distribution and Maintenance of APHIS Form 80-R

The accountable individual in receiving USDA-APHIS-PPQ field offices **must** maintain APHIS Form 80-R and record all transactions pertaining to the certificates that were transferred. (See [Step 3: Record Collected User Fees and Prepaid Certificates](#) on page 6-15-10.)



Two sets of records are kept. One set is kept by the issuing office (either an APHIS Form 80-R or APHIS Form 47); the other is kept by the receiving office where the certificates will be issued (**always** keep APHIS Form 80-R). The issuing office fills in *Block 11* through *Block 14* of APHIS Form 80-R.

## Certificates Issued to State or County Offices

When a controlling official (Export Certification Specialist, Officer-in-charge, State plant health director, or other designated PPQ regulatory official) transfers a block of certificates to a State or county office under his or her jurisdiction, then the controlling official **must** record the transfer using APHIS Form 47, Transmittal and Receipt for Accountable Items.

## Instructions to Complete APHIS Form 47

When an APHIS Form 47 is used to record the transfer of certificates to State or county offices, then follow the instructions in [Table 6-15-11](#).

**TABLE 6-15-11: Instructions to Complete APHIS Form 47 to Transfer certificates to State or County Offices**

<b>If the block is:</b>	<b>Then follow these Instructions to complete APHIS Form 47:</b>
2. TO	ENTER the name and address of the designated State or county official
3. FROM	ENTER the name and address of the controlling official
4. ACCOUNTABLE FORMS ENCLOSED	COMPLETE Blocks A. through E. as listed below
A. FORM NO.	ENTER the form number (PPQ Form 577, PPQ Form 578, or PPQ Form 579)
B. TITLE	ENTER the form title (Phytosanitary Certificate; Export Certificate, Processed Plant Products; or Phytosanitary Certificate for Reexport respectively)
C. QUANTITY	ENTER the quantity of certificates
D. UNIT OF ISSUE	ENTER "Each"
E. SERIAL NOS. (inclusive)	ENTER the range of serial numbers (FROM and THROUGH)
7. REMARKS	LIST the name and phone number of the accountable individual to whom the certificates are transferred
8. SIGNATURE OF ISSUING OFFICIAL	SIGN
9. TITLE	ENTER official title
10. DATE	ENTER date of transfer

Include the completed APHIS Form 47 with the certificates being transferred.

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## Handling Refunds and Credits

If an exporter has a voided or returned unused Federal plant export certificate, either record a credit due on APHIS Form 80-R or arrange for a refund from USDA-APHIS Financial Management Division, Minneapolis Financial Services Branch (MFSB). The voided or returned, unused certificates **must** be filed at the issuing office (accountability point). Returned unused certificates can be reissued.



**Only** give refunds and credits for certificates that were previously issued from your office.

**Never** give a refund or a credit for State certificates or certificates issued by other Federal agencies, even though exporters were charged for the documents.

Once a Federal plant export certificate has been issued and the exporter decides **not** to export the commodity, the user fee is **no** longer refundable. **Do not** refund or credit any of the fee.

If the exporter requests reimbursement for voided or returned unused certificates, then perform the following steps:

1. Accept the voided or unused certificates that are being returned.
2. Make sure that you have the exporter's name, address, social security number (or tax identification number), and phone number.
3. Give the exporter a receipt for the returned certificates using SF 1165. **Only** reimburse \$43 per certificate (\$50 (value of certificate) - \$7 (administrative charge) = \$43).
4. Send a message (memo, FAX, or e-mail) to MFSB requesting the refund and include the following information:
  - A. Amount to be refunded
  - B. Accounting code the payment was posted against
  - C. Check number
  - D. Exporter's name and address
  - E. Exporter's phone number
  - F. Exporter's Social Security number (or tax identification number)
  - G. PPQ contact in case there are questions

Send the message to the following office:

USDA, APHIS, FMD  
Attn: Billings & Collections Team  
Chan Lam  
100 North Sixth Street, 510C  
Minneapolis, MN 55403  
Email: Chan.Q.Lam@aphis.usda.gov  
Phone: 612-336-3275  
FAX: 612-370-2083

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## Managing Records

Authorized Certification Officials (ACOs) **must** maintain an audit trail since USDA-APHIS-PPQ phytosanitary export certification program is one where money is collected and handled directly. In order to sufficiently maintain an audit trail each issuing office **must** perform the following:

- ◆ **Monthly Reports**
- ◆ **Annual Maintenance**

### Monthly Reports

Monthly reporting about certificates issued allows for the following:

- ◆ USDA-APHIS, Financial Management Division, User Fee Section in Riverdale, Maryland, is able to track the collected fees and reconcile the funds between the Minneapolis Financial Services Branch (MFSB) and USDA-APHIS-PPQ work units
- ◆ USDA-APHIS-PPQ is able to accurately determine the number of certificates issued

## Work Units

The Port Director or State Plant Health Director is accountable for preparing and submitting PPQ Form 575, Monthly Summary of Export Certificates Issued<sup>7</sup>. Complete PPQ Form 575 within 5 working days after the month has ended. Use the instructions on the reverse side of the form along with the following supplemental instructions in [Table 6-15-12 on page 6-15-27](#).

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<sup>7</sup> Example of PPQ Form 575 is at the end of these special procedures (see [Forms Used for Collecting User Fees](#) on [page 6-15-30](#)) and are available for downloading from the following web site address: <http://www.aphis.usda.gov/library/forms>.

**TABLE 6-15-12: Instructions to Complete PPQ Form 575, Monthly Summary of Export Certificates Issued**

If the block is:	Then follow the instructions to complete PPQ Form 575:
1. WORK UNIT AND STATION NAME	ENTER the name of your work unit and any work station assigned to the work unit
4. TYPE OF CERTIFICATE	COMPLETE Blocks A. through J. as listed below
A. - F.	ENTER the total number of certificates purchased and the total dollar amount collected and sent to MFSB for each Federal plant export certificate  Use <i>Block 4(B)</i> to record the number of certificates issued to other USDA or government agencies
G. - J.	ENTER only the number of certificates issued for each type of certificate. <b>No</b> fee is collected for these certificates
8. REMARKS	RECORD the government agencies to which certificates were issued along with the number of certificates issued to each agency. certificates issued to other agencies are charged at the \$23 rate and need to be accounted for on PPQ Form 575. PPQ Agreement Services Center will work with agencies outside the Federal government to develop an interagency agreement to pay for certificates issued to them  If you had <b>no</b> export certification activity during the past month, then SEND a negative report. Indicate in <i>Block 8, Remarks</i> , that this is a negative report  RECORD certificates which were pre-purchased at the \$50 rate, but qualified for the \$23 rate when issued. RECORD the number of certificates originally sold for \$50 and the number that qualified for \$23



**Important**

There may be a difference between the number of certificates purchased and the dollar amount sent to MFSB because of the credits given to exporters who prepay for a block of certificates. The credits are recorded when the certificates are used and then are applied against a dollar amount owed when an exporter returns to purchase another block of certificates. A difference should appear **only** in *Block 4(A)* of PPQ Form 575. Record in *Block 8*, the total credit amount applied; **do not** separate credits by exporters.

**EXAMPLE**

In January, Exporter XYZ prepaid for a block of 10 certificates at \$50 each for a total of \$500.

At the end of January, 25 certificates were purchased, which included the block of 10 prepaid by Exporter XYZ.

Recorded on PPQ Form 575 for January under *Block 4(A)* is 25 for the number purchased, and \$1,250 for the amount sent to MFSB (25 certificates x \$50 each).

In April, Exporter XYZ prepaid for another block of 10 certificates at \$50 each for a total of \$500.

After checking the APHIS 80-R, you notice that 2 certificates from the January block qualified for the \$23 rate when a credit of \$27 each was given, and 1 certificate was issued under reimbursable overtime when a credit of \$43 was given. Currently, Exporter XYZ has a credit balance of \$97 (\$27 + \$27 + \$43). Therefore, you charge Exporter XYZ \$403 for the block of 10 certificates (\$500 - \$97).

At the end of April, 30 certificates were purchased, which included the second block of 10 certificates prepaid by Exporter XYZ.

Recorded on PPQ Form 575 for April under *Block 4(A)* is 30 for the number purchased, and \$1,403 for the amount sent to MFSB (30 x \$50 - \$97 credit). Record in *Block 8*, an explanation of why there is a difference between the number purchased and the dollar amount sent to MFSB.

Forward the completed, original PPQ Form 575 to your Regional Office.

**Regional Office**

The regional office is responsible for collecting all original PPQ Forms 575 from their work units and preparing a cover memorandum. The regional office will do the following:

1. Monitor receiving an original PPQ Form 575 from each work unit within the region before the 20th of each month.
2. Prepare a cover memorandum to forward the PPQ Forms 575 to USDA-APHIS, Financial Management Division (FMD), User Fee Section in Riverdale, Maryland. The memorandum should include the statement "This is to transmit all monthly summaries of export certificates issued for the month of *[name of month]*."
3. Forward all of the original PPQ Forms 575 received from the work units along with the cover memorandum to the following address by the 20th of each month:

USDA-APHIS-FMD, User Fee Section  
4700 River Road Unit 55  
Riverdale, MD 20737  
ATTN: Donna Ford

## User Fee Section

USDA-APHIS-FMD, User Fee Section summarizes the information received from the regions and provides Export Services with an annual summary of export certification activities.



Work units should **not** report the number of certificates issued on the WADS system. The annual summary prepared by the User Fee Section replaces the WADS system for tracking export certification activities.

## Annual Maintenance

Collect and maintain records and files as follows:

1. Collect the issuing office copies of both APHIS Form 80-R and APHIS Form 94 used to send user fee money for certificates listed on APHIS Form 80-R.
2. Highlight on APHIS Form 94 the amounts that pertain to certificates listed on APHIS Form 80-R.
3. Attach the associated certificates and APHIS Form 94 to the corresponding APHIS Form 80-R.
4. File the assembled records for the current fiscal year (October 1 to September 30). After closing out a fiscal year, the records **must** be stored on site for 2 complete fiscal years, plus the current fiscal year.
5. At the end of the third year (1 year in current files, 2 years in storage on site), send those records stored the longest to a Federal Archives and Records Center for storage and final disposition. Follow the directions in the *APHIS Records Management Handbook* when performing the following tasks:
  - A. Completing SF-135, Records Transmittal and Receipt
  - B. Locating the appropriate Federal Archives and Records Center
  - C. Retiring records to Federal Archives and Records Center
  - D. Shipping records to Federal Archives and Records Center

### EXAMPLE

At the end of Fiscal Year 2004, you should have both the records for Fiscal Years 2002 and 2003 in storage on site. All records for Fiscal Year 2002 should then be sent to a Federal Archives and Records Center for further storage and final disposition.

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## Forms Used for Collecting User Fees

ACOs should have the following official forms to collect and maintain user fees for issued certificates<sup>8</sup>, some of which are illustrated in this section:

- ◆ APHIS Form 47, Transmittal and Receipt for Accountable Items (for transferring accountability of certificates) (see [Figure 6-15-2 on page 6-15-31](#))
- ◆ APHIS Form 80-R, Export Certification Record (for tracking issued certificates) (see [Figure 6-15-3 on page 6-15-32](#))
- ◆ APHIS Form 89, Report of Reimbursable Inspection and Quarantine Service
- ◆ APHIS Form 94, Record of Public Funds Received (for remitting fees to a lock box) (see [Figure 6-15-4 on page 6-15-33](#))
- ◆ PPQ Form 575, Monthly Summary of Export Certificates Issued (for reporting results) (See [Figure 6-15-5 on page 6-15-34](#))
- ◆ SF Form 1164, Claim for Reimbursement for Expenditures on Official Business
- ◆ SF Form 1165 (book of blank receipts)

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<sup>8</sup> Example of APHIS and PPQ listed forms are at the end of these special procedures (see [Forms Used for Collecting User Fees](#) on [page 6-15-30](#)) and are available for downloading from the following web site address: <http://www.aphis.usda.gov/library/forms>.

TRANSMITTAL AND RECEIPT FOR ACCOUNTABLE ITEMS				USDA-APHIS		1. DATE PREPARED	
<b>ISSUING OFFICE:</b> Complete applicable items 1 through 9. Original and one copy to accompany the items to the receiving office. Retain one copy. <b>RECEIVING OFFICE:</b> Complete items 11 through 15 and return original to issuing office in item 3.							
2. TO:				3. FROM:			
4. ACCOUNTABLE FORMS ENCLOSED							
A. FORM NO.	B. TITLE	C. QUANTITY	D. UNIT OF ISSUE	E. SERIAL NOS. (Inclusive)			
				FROM	THROUGH		
SF-1103	U.S. Government Bill of Lading						
AD-107	Report of Transfer or Other Disposition of Construction of Property - For Sales						
APHIS-89	Report of Reimbursable Inspection and Quarantine Service						
	Identification Card						
5. CREDIT CARDS - LICENSE PLATES ENCLOSED							
A. TYPE	B. NAME OF ISSUING COMPANY	C. NO. ENCLOSED	D. CREDIT CARD OR LICENSE PLATE NOS.				
			FROM	THROUGH			
Telephone Toll Credit Card							
Auto Rental Credit Card							
GSA National Credit Card (Service station use) (Return expired credit cards being replaced)							
License Plates							
APHIS Decals							
6. ACCOUNTABLE ITEMS							
A. DESCRIPTION	B. QUANTITY	C. SERIAL NOS. (Inclusive)					
		FROM	THROUGH				
7. REMARKS							
8. SIGNATURE OF ISSUING OFFICIAL		9. TITLE		10. DATE			
<b>ACKNOWLEDGMENT OF RECEIPT</b> <i>I acknowledge receipt of the above items except as noted in item 11 below.</i>							
11. EXCEPTIONS							
<input type="checkbox"/> 12. "X" IF EXPIRED CREDIT CARDS ARE ATTACHED	13. SIGNATURE OF ACCOUNTABLE OFFICER		14. TITLE		15. DATE RECEIVED		

APHIS FORM 47 (APR 2001) Previous editions may be used.

**FIGURE 6-15-2: Example of APHIS Form 47, Transmittal and Receipt for Accountable Items (blank)**

EXPORT CERTIFICATE RECORD												
1. FIRM NAME AND ADDRESS				2. PREPAYMENT DATE			3. CHECK IDENTIFICATION NUMBER					
				4. Certificates		6. <div style="text-align: center;">x \$50</div>		7. Credit Brought Forward		8. Credit used this page	9. Credit Balance	10. Amount Paid
11. RESPONSIBLE AGENT			12. PHONE NUMBER		13. SERIAL RANGE			14. ISSUING OFFICER				
CERTIFICATE RETURNED (Check appropriate box)												
15. SERIAL NUMBER	16. DATE	17. SIGNED	18. CR \$43 REISSUED	19. CR \$43 VOID/ UNUSED	20. CR \$43 REIMBURSABLE OVERTIME	21. CR \$27 NON COMM OR LOW VALUE	22. CREDIT DUE	23. INITIALS				
<b>TOTALS</b>			24. CR \$43 <div style="text-align: center;">X</div>	25. CR \$43 <div style="text-align: center;">X</div>	26. CR \$43 R O/T <div style="text-align: center;">X</div>	27. CR \$27 <div style="text-align: center;">X</div>	28. TOTAL CREDIT DUE	29. PREVIOUS CREDIT BALANCE				
			\$	\$	\$	\$	\$	\$				
<b>TOTAL CREDIT TO BE BROUGHT FORWARD</b>							\$					

APHIS FORM 80-R (MAR 96)

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PAGE      OF

**FIGURE 6-15-3: Example of APHIS Form 80-R, Export Certificate Record (blank)**

[illegible]

**FIGURE 6-15-4: Example of APHIS Form 94, Record of Public Funds Received (blank)**

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE			
<b>MONTHLY SUMMARY OF EXPORT CERTIFICATES ISSUED</b>			
1. WORK UNIT NAME AND STATION NAME		2. REGION	
		3. MONTH AND YEAR	
4. TYPE OF CERTIFICATE	NUMBER		DOLLAR AMOUNT COLLECTED AND FORWARDED TO ASD
	PURCHASED	ISSUED	
A. Commercial Phytosanitary Certificates invoiced valued at or greater than \$1,250 (PPQ Form 577)			\$
B. All Non-commercial & Commercial Phytosanitary Certificates invoiced valued less than \$1,250 (PPQ Form 577)			\$
C. Export Certificate, Processed Plant Products (PPQ Form 578)			\$
D. Commercial Phytosanitary Certificates for Re-export (PPQ Form 579)			\$
E. Commercial Phytosanitary Certificates for Re-export invoiced valued at less than \$1,250 (PPQ Form 579)			\$
F. Re-issued Certificates (Non-prepaid)			\$
G. Re-issued Certificates (Prepaid)			
H. Number of Voided or Unused Certificates			
I. Number of Certificates Issued under Non Contiguous Reimbursable Overtime			
J. Number of State and County Issued Certificates PPQ Form 577 _____ PPQ Form 578 _____ PPQ Form 579 _____			
<b>CERTIFICATION</b>			
I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected were forwarded to MRP Business Services, ASD, Minneapolis.			
5. SIGNATURE		6. PRINT NAME AND TITLE (PD or Designee)	
7. DATE			
8. REMARKS			
<b>NEGATIVE REPORT</b>			
I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected from previous certificates have been forwarded to MRP Business Services, ASD, Minneapolis.			
9. SIGNATURE		10. PRINT NAME AND TITLE (PD or Designee)	
11. DATE			
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div>PPQ FORM 575 JAN 2002</div> <div> <input type="checkbox"/> PART 1-APHIS USER FEES BRANCH             </div> <div> <input type="checkbox"/> PART 2-WORK UNIT             </div> <div> <input type="checkbox"/> PART 3-REGIONAL OFFICE             </div> </div>			

**FIGURE 6-15-5: Example of PPQ Form 575, Monthly Summary of Export Certificates Issued**

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## Quick Reference Guides for Applying User Fees




Authorized Certification Officials (ACOs) may use the following quick reference guides to determine user fees. These quick reference guides are a summary of the guidelines detailed under *Special Procedures, User Fees*, in the ECM.

**Table 6-15-13** covers initially issued certificates, while **Table 6-15-14** covers reissued certificates.

**TABLE 6-15-13: Quick Reference Guide for Applying User Fees—Initial Issue Federal Plant Export Certificates**

If the time status is:	And the certificate is:	And the shipment is:	Then the user fee charge is:	Actions for <b>nonprepaid</b> certificates:	Actions for <b>prepaid</b> certificates:
Regular tour of duty or contiguous reimbursable overtime (ROT)	PPQ 577	Commercial valued at or greater than \$1,250	\$50	1. COLLECT a check or money order 2. COMPLETE APHIS 80-R blocks 16, 17 (\$50), 23 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
		Commercial valued less than \$1,250	\$23	1. COLLECT a check or money order 2. COMPLETE APHIS 80-R blocks 16, 17 (\$23), 23 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 21, 22 (\$27), 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
		Noncommercial			
	PPQ 578	—————▶	\$50	1. COLLECT a check or money order 2. COMPLETE APHIS 80-R blocks 16, 17 (\$50), 23 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
	PPQ 579	Commercial valued at or greater than \$1,250			
Noncontiguous ROT		Commercial valued less than \$1,250	\$23	1. COLLECT a check or money order 2. COMPLETE APHIS 80-R blocks 16, 17 (\$23), 23 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 21, 22 (\$27), 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
		Noncommercial	No charge	1. COMPLETE APHIS 80-R blocks 16, 17 ("N/C", 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 18-22 ("N/C, Noncommercial Reexport"), 22 (\$43), 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
	PPQ 577	—————▶	No charge		1. COMPLETE APHIS 80-R blocks 16, 17, 20, 22 (\$43), 23 2. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
	PPQ 578	—————▶			
	PPQ 579	Commercial			

**TABLE 6-15-14: Quick Reference Guide for Applying User Fees–Reissued certificates**

If the time status is:	And the error was:	And the certificate is:	And the shipment is:	Then the user fee charge is:	Actions for <b>nonprepaid</b> certificates:	Actions for <b>prepaid</b> certificates:
Regular tour of duty or contiguous reimbursable overtime (ROT)	PPQ's			No charge	1. OBTAIN APHIS 80-R with erroneous certificate 2. SCRATCH through the certificate's serial number in Block 15 3. ENTER in Block 15 the serial number of the replacement certificate 4. COMPLETE APHIS 80-R blocks 16, 17 ("N/C"), 18-22 ("PPQ issuing error, replace certificate # for [exporter's name]"), 23 5. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. OBTAIN APHIS 80-R with erroneous certificate 2. SCRATCH through the entire line 3. ENTER "Voided due to PPQ error" in the margin 4. FILE voided certificate at issuing office 5. COMPLETE APHIS 80-R blocks 16, 17-21 ("PPQ issuing error"), 22 (\$50), 23 6. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
				\$7 for first reissue; \$50 for additional	1. COLLECT a check or money order 2. COMPLETE APHIS 80-R blocks 16, 17 (\$7), 23 3. VOID the original certificate; FILE at issuing office 4. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 18, 22 (\$43), 23 2. VOID the original certificate; FILE at issuing office 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
				\$7 for first reissue; \$23 for additional		
	Exporter's or their agent	PPQ 577	Commercial valued at or greater than \$1,250	\$7 for first reissue; \$50 for additional		
			Commercial valued less than \$1,250	\$7 for first reissue; \$23 for additional		
			Noncommercial			
Noncontiguous ROT	PPQ's			No charge	1. COMPLETE APHIS 80-R blocks 16, 17 ("N/C"), 23 2. VOID the original certificate; FILE at issuing office 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 18-21 ("N/C, noncommercial reexport"), 22 (\$43), 23 2. VOID the original certificate; FILE at issuing office 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12
				\$7 for first reissue; \$23 for additional		
	PPQ's			No charge	1. COMPLETE APHIS 80-R blocks 16, 17, 18-22 ("issued on ROT"), 23 2. VOID the original certificate; FILE at issuing office 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12	1. COMPLETE APHIS 80-R blocks 16, 17, 20, 22 (\$43), 23 2. VOID the original certificate; FILE at issuing office 3. CHARGE ROT on APHIS 89 recording certificate's serial number in Block 12

